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ABSTRACT

This bibliography deals with a wide variety of organizational dynamics and is related to the definition of organizational change developed by the Stanford Center's Organizational Change project. This definition, discussed in detail, focuses on deliberate change instituted to reformulate official policy. A topical outline of the bibliography is provided. Included under the heading "General Problems of Analyzing Organizational Change" are discussions of (1) reasons why organizational theoriests have generally neglected the problem of organizational paradigms, (2) deliberate action by authorities and partisans, (3) organizational conflict as a promoter of change, and (4) the interrelation of organizational subsystems. Included under the heading "Changes in Various Subsystems" are discussions of (1) changing organizations by changing individuals, (2) partisan groups of agents of organizational change, (3) system changes planned by authorities (long-range planning and decision-making), (4) technology as a source of organizational change, and (5) the organization and its environment. (DE)

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ORGANIZATIONAL CHANGE PROCESSES: A BIBLIOGRAPHY WITH COMMENTARY

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Table of Contents

	Page
Introductory Statement	iv
Abstract	v
Introduction	1
What Does Organizational Change Mean?	1
Topical Outline of the Bibliography	5
Part One: General Problems of Analyzing Organizational Change	5
Part Two: Changes in Various Subsystems	5
Bibliography	7

Introductory Statement

The central mission of the Stanford Center for Research and Development in Teaching is to contribute to the improvement of teaching in American schools. Given the urgency of the times, technological developments, and advances in knowledge from the behavioral sciences about teaching and learning, the Center works on the assumption that a fundamental reformulation of the future role of the teacher is required. The Center's mission is to specify as clearly, and on as empirical a basis as possible, the direction of that reformulation, to help shape it, to fashion and validate programs for training and retraining teachers in accordance with it, and to develop and test materials and procedures for use in these new training programs.

The Center is at work in three interrelated problem areas: (a) Heuristic Teaching, which aims at promoting self-motivated and sustained inquiry in students, emphasizes affective as well as cognitive processes, and places a high premium upon the uniqueness of each pupil, teacher, and learning situation; (b) The Environment for Teaching, which aims at making schools more flexible so that pupils, teachers, and learning materials can be brought together in ways that take account of their many differences; and (c) Teaching the Disadvantaged, which aims to determine whether more heuristically oriented teachers and more open kinds of schools can and should be developed to improve the education of those currently labeled as the poor and the disadvantaged.

Research and Development Memorandum No. 57, which follows, is a bibliography with commentary which grew out of the project on Organizational Change: The Study of Innovations in Educational Institutions, a part of the Environment for Teaching program. One of the project's goals is to indicate strategies for implementing desired changes in schools of education, colleges, and other organizations that train teachers and therefore influence elementary and secondary education. Its findings will aid in furthering the goals both of the Environment for Teaching program and of the Center as a whole.

Abstract

The bibliography presented in this memorandum deals with a wide variety of organizational dynamics and is related to the definition of organizational change developed by the Organizational Change project. The definition focuses on deliberate change instituted either by partisans of the change or by authorities in order to reformulate official policy that affects various interconnected systems. Two topical outlines keyed to the bibliography deal with (a) general problems of analysis and change, and (b) changes in various subsystems.

ORGANIZATIONAL CHANGE PROCESSES:

A BIBLIOGRAPHY WITH COMMENTARY

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Introduction

The aim of the organizational change project at the Stanford Center for Research and Development in Teaching is to build a conceptual framework for analyzing various kinds of purposive changes in complex organizations, particularly in higher educational institutions. The first stage of the research was a review of the literature on organizational dynamics. A doctoral seminar at the Stanford School of Education spent two quarters reviewing various conceptual frameworks that have previously been used to analyze organizational change.

The seminar made a deliberate decision to do a global, large-scale survey of the literature, touching many bases as it were, rather than concentrating on one or two specific topics. The hope was that such a large-scale review would help put various research approaches in perspective. The approach proved to be extremely valuable for charting a variety of conceptual frameworks and for showing how they interrelated. The next stage in the project will be to move from this global approach to more specific topics that now seem critical in light of the larger picture.

The bibliography reported in this memorandum grew out of the efforts of the seminar. The bibliography deals with a wide variety of organizational dynamics and for that reason some introductory comments are necessary if it is to be useful for anyone concerned with a particular issue.

What Does Organizational Change Mean?

Preliminary investigations were constantly plagued by the ambiguity of the concept "organizational change." Thus, the first task was to

specify the meaning of the term more carefully. The following tentative definition is a result of that effort:

> Organizational change is defined as deliberate action by authorities and/or partisans which results in official policy changes to redirect the organization's activity or to change its structure in different subsystems.

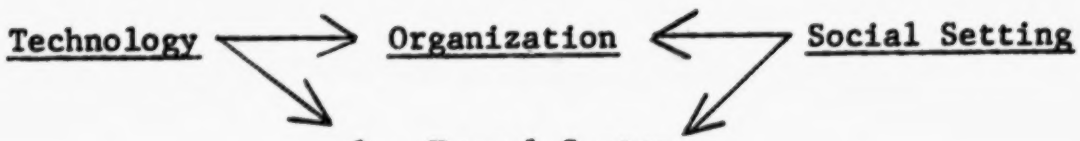
This definition suggests first that the object of study is deliberate, purposive action. This focus eliminates concern for nonplanned types of change, such as population changes, unanticipated environmental pressure, and minor growth fluctuations. This also eliminates unplanned types of "aggregative" processes, that is, an effect which results from hundreds of uncoordinated individual decisions rather than deliberate policy decision. For example, Burton Clark (1960) found that students' individual decisions about which courses to take reshaped San Jose Junior College toward academic goals even though the official policy was toward vocational goals. Contrary to popular opinion, sociologists have frequently focused on those informal, aggregative properties; this research will try to chart another course by concentrating on deliberate policy changes.

Taking a cue from William Gamson (1968), the definition's second emphasis is on the social change that results from the conflict between authorities, i.e., the designated officials who make "binding decisions" for an organization, and partisans, i.e., those who are affected by the decisions even though they have no authority to make them. This distinction is especially valuable for analyzing changes in modern universities, since conflict is a major impetus for change on the campus. On one hand, the project is examining officially planned changes instituted by the authorities, such as new technologies, building programs, and new structural arrangements. These constitute by far the major types of changes. On the other hand, the pressure that partisans bring to bear on authorities in order to force reforms of various kinds is also being examined. The most visible kind of partisan activities on the university campus is the action of student radicals, but many other partisan groups bring pressure to bear,

including faculties, staff, trustees, and outside pressure groups. The interaction between authorities and partisans is a major impetus for change on the university campus, and the literature on social conflict thus becomes a major input to our conceptual frameworks.

The third aspect of this definition is the emphasis on official policy changes. There are obviously many types of organizational changes that do not result from official policies, such as changes in the morale of participants, the type of courses selected by students, or the general character of an institution. However, this research will concentrate on deliberate, planned changes rather than on these nonofficial types. In general the decision to concentrate on action by authorities or partisans that leads to official policies means that some official body of the organization will formally enact the change.

Finally, the definition says that the changes in different subsystems of the organization will be analyzed. Stanley Udy, Jr., offers a helpful taxonomy of subsystems:



1. Formal System
2. Groups
3. Individuals

In Udy's taxonomy, social setting refers to the complex of environmental elements (individuals, other organizations) which furnish "inputs" to the organization and accept its "outputs." Technology consists of the material inputs and the technical facilities for transforming raw materials into finished products. The formal system is the organization's mechanism for coordinating work, handling conflict, and dealing with the environment; included under the formal system are the authority networks, the reward and incentive mechanisms, and various decision-making enterprises. The group subsystem consists of informal cliques and active partisan interest groups.

Finally, the individual level deals with participants' attitudes, morale, interpersonal relations, and other individual factors.

The analysis of change must be carefully specified by subsystem level. It makes no sense to speak of organizational change in general, for the level that is changing must be concretely designated. Any of the five subsystems could be changing, and the type of change must be related to a given level. Moreover, it is assumed that a change in one subsystem will have repercussions on other areas.

This raises an additional point. Each subsystem may be viewed as a complex of dependent variables, or as a complex of independent variables. In other words, one may want to focus (for example) on technological innovation as a dependent variable and investigate what causes it. Or one may want to use technolgoical innovation as an independent variable and investigate the impact it has on other subsystems. Each of the subsystems, then, can be studied as a factor which is being caused, or as a factor which is itself causing other events. Of course, this is always a matter of perspective, but it is critical to be clear about which stance is intended.

In summary, this definition of organizational change focuses on (1) deliberate change, (2) instituted by either partisans or authorities, (3) in order to reformulate official policy that affects (4) various subsystems. These various systems are interconnected, and it is assumed that changes in one area affect others. Finally, it is critical to be clear whether the designated subsystem is itself changing (dependent variable), or whether it is causing changes in other subsystems (independent variable).

A definition such as this has both advantages and disadvantages. On one hand, it is abstract enough to encompass a wide variety of changes and, by specifying their subsystem relationships, interrelating the various types of change in a holistic, global picture of organizational change. On the other hand, it has the major disadvantage of a tendency to be vague and too abstract; it gives the big picture, but it does not focus sharply on particular changes. Of course, that is the goal of future research.

Moreover, the topical bibliography contains scores of studies and background literature on specific types of changes.

Topical Outline of the Bibliography

The following outline is keyed to the bibliography, with the numbers following the topics referring to the numbers in the bibliography. The numbers after each topic are organized by the author's judgment of their relevance to the issue, with the most relevant reference first, etc. Part One deals with general problems of analyzing organizational change. Part Two gives background literature and case studies dealing with changes in each of Udy's subsystems.

Part One: General Problems of Analyzing Organizational Change

1. Topic One : Why Have Organization Theorists Generally Neglected the Problem of Organizational Paradigms? 20, 61, 57, 7, 13, 18, 22, 17, 89, 90.

2. Topic Two : Deliberate Action by Authorities and Partisans. 45, 5, 94.

3. Topic Three : Organizational Conflict as a Promoter of Change. 5, 29, 19, 39, 114, 55, 95, 96, 108, 30, 14, 33, 123, 103, 126, 32, 12, 15.

4. Topic Four : The Interrelation of Organizational Subsystems. 129, 73, 82.

Part Two: Changes in Various Subsystems

1. Topic One : Changing Organizations by Changing Individuals: The Social-Psychological Strategy.

   Background Literature: 9, 67, 2, 3, 4, 10, 49, 51, 69, 78, 107, 111.

   Case Examples: 100, 134.

2. Topic Two : Partisan Groups as Agents of Organizational Change.

   Background Literature: 58, 59, 37, 6, 127, 64, 113, 11.

   Case Examples: 31, 70, 75, 8.

3. Topic Three : System Changes Planned by Authorities: The Literature on Long-Range Planning and Decision-Making.

   Background Literature: 24, 50, 82.

   Case Examples: 47, 48, 60, 77, 117.

4. Topic Four : Technology as a Source of Organizational Change.

   Background Literature: 56, 99, 41, 124, 132, 128.

   Case Examples: 21, 28, 104, 87.

5. Topic Five : The Organization and Its Environment.

   Background Literature: 121, 120, 42, 125, 38, 34, 62, 65, 66, 68, 131, 128, 122, 74, 81, 93, 112, 118.

   Case Examples: 108, 27, 25, 5, 23, 26, 82, 86, 101.

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J. Victor Baldridge, Organizational Change Processes: A Bibliography with Commentary, January 1970.

Purpose: A bibliography to aid in assembling research material on change processes in complex organizations. An interpretative guide is provided to outline the literature relevant for different kinds of organizational changes.

Usefulness: Should be a very helpful background resource for anyone concerned with organizational dynamics.

Target groups: Organizational theorists; educational administrators; students of educational administration.